

PTOL-413A (07-07)  
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U.S. Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

### Applicant Initiated Interview Request Form

Application No.: 09/255,737 First Named Applicant: Mead  
Examiner: Campan Art Unit: 3591 Status of Application: Pending

**Tentative Participants:**

(1) Examiner Campan (2) Nathan Grabasch  
(3) \_\_\_\_\_ (4) \_\_\_\_\_

Proposed Date of Interview: 7/23/09 Proposed Time: 1:00 ast (AM/PM)

**Type of Interview Requested:**

(1) ☒ Telephonic (2) ☐ Personal (3) ☐ Video Conference

Exhibit To Be Shown or Demonstrated: ☐ YES ☒ NO

If yes, provide brief description: \_\_\_\_\_

### Issues To Be Discussed

Issues (Rej., Obj., etc)	Claims/ Fig. #s	Prior Art	Discussed	Agreed	Not Agreed
(1) _____	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) _____	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(3) _____	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(4) _____	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Continuation Sheet Attached			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Brief Description of Arguments to be Presented:**

See attached addendum

An interview was conducted on the above-identified application on 7/23/2009

**NOTE:** This form should be completed by applicant and submitted to the examiner in advance of the interview (see MPEP § 713.01).

This application will not be delayed from issue because of applicant's failure to submit a written record of this interview. Therefore, applicant is advised to file a statement of the substance of this interview (37 CFR 1.135(b)) as soon as possible.

\_\_\_\_\_  
Applicant/Applicant's Representative Signature

Nathan Grabasch

\_\_\_\_\_  
Typed/Printed Name of Applicant or Representative

48,600

\_\_\_\_\_  
Registration Number, if applicable

\_\_\_\_\_  
Examiner/SPE Signature

This collection of information is required by 37 CFR 1.133. The information is required to obtain or retain a benefit by the public which is to the extent by the USPTO is process an application. Confidentiality is governed by 35 U.S.C. 104 and 37 CFR 1.11 and 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. There will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Interview addendum for Application Serial No. 09/255,737

Regarding the pending claims and the Office Action dated June 19<sup>th</sup>, 2009, Applicant wishes to discuss the following proposed amendment and passages from the combination:

- (1) Discuss the finality of the rejection in light of the following:
  - a. The finality of the rejection is improper because this is the first time official notice has been cited during prosecution;
  - b. The finality of the rejection is also improper because the preceding action was an election of species;
  - c. The rejection did not evidence that amendments by Applicant necessitated the new art. Applicant has not had an opportunity to challenge the implication of official notice; and
  - d. official notice is improper in light of the restriction requirement between groups I and II (Restriction Requirement page 2 bottom of page).
- (2) The pending obviousness rejection and the implication of official notice is improper in light of the restriction requirement between groups I and II (Restriction Requirement page 2 bottom of page); and
- (3) The combination of Hazezy/official notice are at odds because Hazezy teaches away from criterion that is "specified by a person other than the user."

Discuss the following proposed amendment (not for entry on the record).

1. (currently amended) A computer-implemented method of ~~providing investment information to a user of a first computer~~, comprising the steps of:

(1) receiving in a second computer a plurality of data feeds of data each including information concerning ~~a plurality of one or more~~ investments;

(2) parsing each of the plurality of data feeds of data to extract at least one quantitative data ~~items~~ item for each of the ~~plurality of one or more~~ investments;

(3) comparing each extracted quantitative data item ~~that was extracted~~ to one or more of ~~a plurality of~~ triggers specified by a user, each trigger comprising an association between a predefined criterion of interest, specified by a person an entity other than the user ~~of the first computer~~, and one or more of the extracted quantitative data items ~~that were extracted~~ and, if when the comparison indicates a match, setting forwarding to a computer associated with the user, ~~a an~~ corresponding alert for that ~~the~~ trigger that corresponds to the criterion that matches; and

(4) causing the computer associated with the user to display the alert for the trigger specified by the user displaying on a screen associated with the first computer ~~one or more alerts that have been set for an investment selected by the user of the first computer~~;

~~wherein at least some of the alerts belong to a category reserved for most timely and relevant alerts; the at least some of the alerts being displayed in a manner indicating their membership in the category.~~

Applicant appreciates Examiner's willingness to work with Applicant in advancing the prosecution of the subject application in the most expeditious manner possible.